

# ISLAMIC STOCKBROKING WINDOW CORPORATE TRADING ACCOUNT APPLICATION FORM CLIENT DETAILS

IOPA03ANov17

## PART A - CLIENT DETAILS

NAME OF APPLICANT :   
*(As per Registration doc)*

ACCOUNT QUALIFIER :   
*(beneficiary owner)*

REGISTERED ADDRESS :   
*(As per Registration doc)*

BUSINESS ADDRESS :   
*(if different from above)*

REGISTRATION NUMBER :  DATE OF INCORPORATION :  -  -

NATURE OF BUSINESS : \_\_\_\_\_ PLACE OF INCORPORATION : \_\_\_\_\_

OWNERSHIP  Bumi Controlled  Non Bumi Controlled  Foreign Controlled

BUSINESS PREMISES  Own Property  Mortgage  Rented

COMPANY TEL. NO. :  FAX NO. :

EMAIL ADDRESS :

CONTACT PERSON : \_\_\_\_\_ TELEPHONE NO. : \_\_\_\_\_

## PART B - FINANCIAL PARTICULARS AS AT DATE OF APPLICATION

BANK NAME : \_\_\_\_\_ BANK A/C NO. :

AUTHORISED CAPITAL RM \_\_\_\_\_ PAID UP CAPITAL RM \_\_\_\_\_

NET ASSETS RM \_\_\_\_\_ NET BORROWINGS RM \_\_\_\_\_

AUDITED FINANCIAL RESULTS (for the past two years)

YEAR	PROFIT/(LOSS) BEFORE TAX (RM)	COMPANY TURNOVER (RM)	SHAREHOLDERS FUND (RM)

## PART C - INVESTMENT RISK PROFILE

1 Do you have Trading Accounts with other brokers?  No  Yes (please specify) \_\_\_\_\_

2 What is your investment term?  Short Term  Mid Term  Long Term

3 What is your investment objective?  Capital Growth  Savings  Dividend

4 What is your risk tolerance level?  Conservative  Moderate  Aggressive

5 Do your related companies or its associate companies have a trading account with Malacca Securities Sdn Bhd ?  No  Yes  
*(if yes, please provide the details below)*

Name	Trading Account No.

## PART D- INFORMATION OF PERSONS AUTHORISED TO TRADE AND/OR OPERATE THE ACCOUNT AS PER BOARD RESOLUTION

NAME	DESIGNATION	CONTACT NO.	EMAIL ADDRESS

**PART E- DECLARATION BY CLIENT**

**DECLARATION OF POLITICALLY EXPOSED PERSONS (PEPs)**

YOU ARE REQUIRED TO DECLARE WHETHER YOU / FAMILY MEMBER\* / CLOSE ASSOCIATE\*\* ARE CURRENTLY ENTRUSTED WITH A PROMINENT PUBLIC FUNCTION\*\*\* IN MALAYSIA OR A FOREIGN COUNTRY?

\*"Family Member" includes parent, spouse, siblings, children and financial dependents

\*\*"Close Associate" includes person(s) who are socially and/or professionally closely connected to a Politically Exposed Person

\*\*\* "Prominent Public Function" includes the roles held by a head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executives of state owned corporations, senior political party officials, NGO, national and international sport bodies.

No, I am / My family member(s) / close associate(s) **are not** entrusted with a prominent public function

Yes, I am / My family member(s) / close associate(s) **are** entrusted with a prominent public function, these are detailed in the table below:

Name of person entrusted with Prominent Public Function	Your Relationship to person	Person's Role / Occupation	Person's Employer / Organization

**DECLARATION PURSUANT TO COMMON REPORTING STANDARD (CRS) ON TAX RESIDENCY**

We are a tax resident of another country(s) outside Malaysia :  No  Yes

If yes, please complete the CRS Tax-Residency Self-Certification form (Corporate), which can be found at the following link:

<http://www.mplonline.com.my/macsecos/openacc.asp>

**DECLARATION PURSUANT TO RULE 5.15(9) OF BURSA MALAYSIA SECURITIES BHD.**

We do solemnly declare that the dealings in securities in respect of our trading account shall be conducted :

For us as principal

for and on behalf of the party set out below, from whom, through whom or on whose behalf the securities are to be dealt with. We shall however remain liable for the dealings without prejudice to your right against the said party:-

Name of Party Concerned : \_\_\_\_\_

Company Registration No. / NRIC / Passport No. : \_\_\_\_\_

Correspondence/Registered Address : \_\_\_\_\_

**DECLARATION PURSUANT TO TERMS AND CONDITIONS FOR THE OPERATION OF SECURITIES TRADING ACCOUNT(S) IN ISLAMIC STOCKBROKING WINDOW OF MALACCA SECURITIES SDN BHD ( MSSB )**

- a) We declare that all particulars and information given by us in this Trading Account Application Form (TAAF) are true and correct and we have not withheld any material fact or information from Malacca Securities Sdn Bhd ("the Company")
- b) We hereby declare that we are not insolvent nor placed under receivership and we do not have any litigation case pending against us for any debts due and also not a defaulter under the Bursa Defaulter List.  
Upon the occurrence of any of the events rendering the above declaration in Clauses(a) and (b) becoming inaccurate or untrue, we agree and undertake to immediately cease trading and cease utilizing the services of the Company and shall forthwith notify the Company in writing of the occurrence of such event(s). Without prejudice to the aforementioned, upon the Company having knowledge of the occurrence of any of the such events, the Company shall have the right and discretion to immediately cease my trading and the Company shall have the right to cease the provision of all its /their services or any part thereof. However, all orders carried out for me under any of the Client's Securities Account(s) (hereinafter defined) and all orders, instructions and communications carried out by the Company prior to the aforesaid cessation shall be valid and enforceable against us.
- c) We acknowledge that the Company do not provide any investment advice, suggestions or recommendations;
- d) We understand that our application to open any account and any other services and facilities are subject to the Company's approval as the case may be and the Company is absolutely entitled at its respective discretion to reject our application or impose such conditions and/or restrictions as it may deem fit without giving any reasons thereof.
- e) We undertake to furnish the Company with such additional particulars, information and declaration as the Company may require at any time and from time to time. We further undertake to promptly notify the Company should there be any changes to the particulars, information or the declaration given to the Company as the case may be.
- f) We also authorise the Company to verify the particulars and information provided from any source and in such manner as it shall deem fit.
- g) We consent to the Company to conduct any check on the credit standing / financial status with any person or institution or credit reporting agency that it may deem necessary at any point of time.
- h) We have been advised to seek independent legal advice on the effects and consequences of the terms and conditions of this TAAF form and the Terms and Conditions for the Operations of Securities Trading Account(s) in Islamic Stockbroking Window of Malacca Securities Sdn Bhd ("Terms") and any failure to do so shall be at my risk.
- i) **Online Client:** We have read and understood the full contents of this TAAF and the Terms posted at the Company website [www.mplonline.com.my](http://www.mplonline.com.my). We fully accept and agree to be bound by the said TAAF and Terms and agree that the said Terms may be varied and/or supplemented by the Company from time to time. (Please refer to the Company website [www.mplonline.com.my](http://www.mplonline.com.my) for the Terms and the updated version of the Terms)  
**Non-Online Client:** We acknowledge that we have received a copy of the Terms. We have read and understood the full contents of this TAAF and the Terms. We fully accept and agree to be bound by the said TAAF and the Terms and agree the said Terms may be varied and/or supplemented by the Company from time to time. (Please refer to the Company website [www.mplonline.com.my](http://www.mplonline.com.my) for the Terms and the updated version of the Terms)
- j) We shall adhere to the Best Practices for Shariah Investing which is made available to us at [www.mplonline.com.my](http://www.mplonline.com.my)
- k) We enclosed herewith the following documents or the equivalent duly certified as true and correct (CTC).
 

<ul style="list-style-type: none"> <li><input type="checkbox"/> 1 copy of Form 8/9/13 or Notice of Registration or Registration of new name</li> <li><input type="checkbox"/> 1 copy of Form 24 or Return of Allotment of shares</li> <li><input type="checkbox"/> 1 copy of Form 44 or Notification for change in the Registered Address</li> <li><input type="checkbox"/> 1 copy of Form 49 or Notification of change in the Register of directors, managers &amp; secretaries or its equivalent to be confirmed by Director &amp; Co. Secretary</li> <li><input type="checkbox"/> 1 copy of M &amp; A or constitution (if any) . Include a clause which allows to deal in securities. If no constitution refer to nature of business of the company.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> 1 copy of Director (s) NRIC/Passport (CTC by DR)</li> <li><input type="checkbox"/> 1 set of Board Resolution</li> <li><input type="checkbox"/> Latest 2 years Audited Accounts or Financial statements (if any)</li> <li><input type="checkbox"/> Letter of Guarantee and Indemnity- to be signed by Directors (Not required if applying for Cash Upfront trading account)</li> <li><input type="checkbox"/> Others (please specify) :- _____</li> </ul>
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\* Affixation of Common seal or Company rubber stamp

SUBSCRIBED AND SOLEMNLY  
declared by the account holder

PLEASE PRINT THE COMPLETED FORM  
AND PHYSICALLY SIGN WITHIN THE BOX

DIGITAL SIGNATURE IS NOT ACCEPTED

\_\_\_\_\_  
Signature of Applicant

Applicant Name : \_\_\_\_\_

Date : --

Before me,

\_\_\_\_\_  
Signature of Witness

Witness Name : \_\_\_\_\_

Witness NRIC : --

Date : --